

JPW

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants: Shobu et al. Examiner: Unassigned
Serial No.: 10/721,555 Group Art Unit: 1755
Confirmation No.: 5837 Docket: 105-78
Filed: November 25, 2003 Dated: September 16, 2004
For: Aqueous Shellac Coating Agent and
Production Process Therefor, and
Coated Food and Production Process
Therefor, Coated Drug and Production
Process Therefor, Glazing composition
for Oil-Based Confectionary, Glazing
Process, and Glazed Oil-Based
Confectionary Using Same

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

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in an envelope, addressed to: Commissioner for Patents,
P.O. Box 1450, Alexandria, VA 22313-1450 on
Date: September 16, 2004*

Signed: Joyce Peterson

REQUEST TO CORRECT INVENTORSHIP UNDER 37 C.F.R §1.48(a)

Sir:

Please add the following previously unnamed persons as co-inventors of the above-referenced patent application.

Name: **Keizou Mochizuki**
Residence: **12-20, Hinode-cho, Sakado-shi, Saitama-ken, Japan**
Post Office Address: **Same**
Citizenship: **Japan**

Name: **Hidejiro Hara**
Residence: **c/o Freund Corporation, 8-1, Nishishinjuku, 6-chome,
Shinjuku-ku, Tokyo, Japan**
Post Office Address: **Same**
Citizenship: **Japan**

Name: **Kazumi Yamada**
Residence: **c/o Freund Chemical Co., Ltd., 2-10, Numakage 2-chome,
Saitama-shi, Saitama-ken, Japan**
Post Office Address: **Same**
Citizenship: **Japan**

09/21/2004 WABDELRI 00000001 10721555

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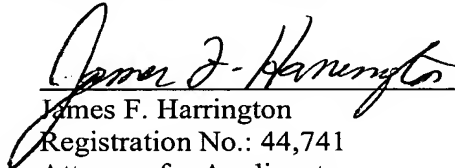
130.00 DP

Applicants: Shobu et al.
Application Serial No.: 10/721,555
Filing Date: November 25, 2003
Docket No.: 105-78
Page 2

Enclosed herewith pursuant to 37 C.F.R. § 1.48(a) are the following:

- (a) Statements from the persons being added as inventors;
- (b) A newly executed Declaration signed by each of the actual inventors as required by 37 C.F.R. § 1.63;
- (c) Written consent of the assignee with certification under 37 C.F.R. § 3.73(b);
- (d) A copy of the new Assignment signed by the added inventors;
- (e) A copy of change of name of Assignee; and
- (f) Fee payment under 37 C.F.R. § 1.17(i) (A check for \$130.00).

Respectfully submitted,



James F. Harrington
Registration No.: 44,741
Attorney for Applicants

HOFFMANN & BARON, LLP
6900 Jericho Turnpike
Syosset, New York 11791
(516) 822-3550
JFH/jp



PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants:	Shobu et al.	Examiner:	Unassigned
Serial No.:	10/721,555	Group Art Unit:	1755
Confirmation No.:	5837	Docket:	105-78
Filed:	November 25, 2003	Dated:	May 24, 2004
For:	Aqueous Shellac Coating Agent and Production Process Therefor, and Coated Food and Production Process Therefor, Coated Drug and Production Process Therefor, Glazing composition for Oil-Based Confectionary, Glazing Process, and Glazed Oil-Based Confectionary Using Same		

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1450 on*

Date: Sept 16, 2004

Signed: Joyce Peterson

STATEMENT FROM PERSON BEING ADDED AS INVENTOR

Sir:

I, **Keizou Mochizuki**, declare and say:

1. I am an inventor in the above-identified patent application;
2. Through error, I was not named as an inventor in the above-identified application;
3. The error in inventorship occurred without deceptive intent on my part.

I HEREBY DECLARE that all statements made herein of my own knowledge are true
and that all statements made on information and belief are believed to be true. Further, that
these statements were made with the knowledge that willful false statements and the like so
made are punishable by fine or imprisonment or both under Section 1001 of Title 18 of the

Applicants: Shobu et al.
Application Serial No.: 10/721,555
Filing Date: November 25, 2003
Docket No.: 105-78
Page 2 of 2

United States Code, and such willful false statements may jeopardize the validity of the application and any patent issued thereon.

September 7, 2004
Date

Keizou Mochizuki
Keizou Mochizuki



ε

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants:	Shobu et al.	Examiner:	Unassigned
Serial No.:	10/721,555	Group Art Unit:	1755
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for Patents, P.O. Box 1450, Alexandria, VA 22313-
1450 on*

Date:

Sept 16, 2004

Signed:

George Peterson

STATEMENT FROM PERSON BEING ADDED AS INVENTOR

Sir:

I, **Hidejiro Hara**, declare and say:

1. I am an inventor in the above-identified patent application;
2. Through error, I was not named as an inventor in the above-identified application;
3. The error in inventorship occurred without deceptive intent on my part.

I HEREBY DECLARE that all statements made herein of my own knowledge are true
and that all statements made on information and belief are believed to be true. Further, that
these statements were made with the knowledge that willful false statements and the like so
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Page 2 of 2

United States Code, and such willful false statements may jeopardize the validity of the application and any patent issued thereon.

September 7, 2004
Date

Hidejiro Hara
Hidejiro Hara



PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants:	Shobu et al.	Examiner:	Unassigned
Serial No.:	10/721,555	Group Art Unit:	1755
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for Patents, P.O. Box 1450, Alexandria, VA 22313-
1450 on*

Date:

Signed:

Sept 16, 2004
Steve Peterson

STATEMENT FROM PERSON BEING ADDED AS INVENTOR

Sir:

I, **Kazumi Yamada**, declare and say:

1. I am an inventor in the above-identified patent application;
2. Through error, I was not named as an inventor in the above-identified application;
3. The error in inventorship occurred without deceptive intent on my part.

I HEREBY DECLARE that all statements made herein of my own knowledge are true
and that all statements made on information and belief are believed to be true. Further, that
these statements were made with the knowledge that willful false statements and the like so
made are punishable by fine or imprisonment or both under Section 1001 of Title 18 of the

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Page 2 of 2

United States Code, and such willful false statements may jeopardize the validity of the application and any patent issued thereon.

September 7, 2004
Date

KaZUmi YaMaDa
Kazumi Yamada



PATENT

Attorney's Docket No. 105-78

COMBINED DECLARATION AND POWER OF ATTORNEY

(ORIGINAL, DESIGN, NATIONAL STAGE OF PCT, SUPPLEMENTAL,
DIVISIONAL, CONTINUATION OR CIP)

As a below named inventor, I hereby declare that:

TYPE OF DECLARATION

This declaration is of the following type: (check one)

- | | |
|--|---|
| <input type="checkbox"/> Original | <input type="checkbox"/> National Stage PCT |
| <input checked="" type="checkbox"/> Supplemental | <input type="checkbox"/> Divisional |
| <input type="checkbox"/> Design | <input type="checkbox"/> Continuation |
| | <input type="checkbox"/> Continuation-in-Part (CIP) |

INVENTORSHIP IDENTIFICATION

NOTE: If the inventors are each not the inventors of all the claims an explanation of the facts, including the ownership of all the claims at the time the last claimed invention was made, should be submitted.

My residence, post office address and citizenship are as stated below next to my name.

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled:

Aqueous Shellac Coating Agent and Production Process Therefor, and Coated Food and Production Process Therefor, Coated Drug and Production Process Therefor, Glazing Composition for Oil-Based Confectionary, Glazing Process, and Glazed Oil-Based Confectionary Using Same

the specification of which: (complete (a), (b) or (c))

- (a) ☐ is attached hereto.
- (b) ☒ was filed on November 25, 2003 as
☒ Serial No. 10/721,555 or
☐ Express Mail No. _____, as Serial No. not yet known
and was amended on _____. (If applicable)
- (c) ☐ was described and claimed in PCT International Application No. PCT/
filed on _____ and as amended under PCT Article 19 on _____. (If any)

ACKNOWLEDGMENT OF REVIEW OF PAPERS AND DUTY OF CANDOR

I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claims, as amended by any amendment referred to above, and that the filing of said specification, if heretofore filed, was authorized by me.

I acknowledge the duty to disclose information which is material to the patentability of this application in accordance with Title 37, Code of Federal Regulations, §1.56(a).

CLAIM OF PRIORITY OF EARLIER FOREIGN APPLICATION(S) UNDER 35 U.S.C. §119(a)-(d)

I hereby claim foreign priority benefits under Title 35, United States Code, §119 of any foreign application(s) for patent or inventor's certificate or of any PCT international application(s) designating at least one country other than the United States of America listed below and have also identified below any foreign application(s) for patent or inventor's certificate or any PCT international application(s) designating at least one country other than the United States of America filed by me on the same subject matter having a filing date before that of the application(s) of which priority is claimed:

(List prior foreign/PCT application(s) filed within 12 months (6 months for design) prior to this U.S. application.)

NOTE: Where item (c) is entered above and the International Application which designated the U.S. claimed priority check item (e), enter the details below and make the priority claim.

COUNTRY (orPCT)	APPLICATION NO.	DATE OF FILING (Day/Month/Year)	PRIORITY CLAIMED UNDER 35 USC §119	
Japan	2002-347465	29/11/2002	<input checked="" type="checkbox"/> YES	<input type="checkbox"/> NO
Japan	2003-176333	20/06/2003	<input checked="" type="checkbox"/> YES	<input type="checkbox"/> NO
Japan	2003-293002	13/08/2003	<input checked="" type="checkbox"/> YES	<input type="checkbox"/> NO
Japan	2003-318500	10/09/2003	<input checked="" type="checkbox"/> YES	<input type="checkbox"/> NO

CLAIM FOR BENEFIT OF PRIOR U.S. PROVISIONAL APPLICATION(S) UNDER 35 U.S.C. §119(e)

I hereby claim the benefit under Title 35, United States Code, §119(e) of any United States provisional application(s) listed below:

(List prior U.S. provisional applications.)

PROVISIONAL APPLICATION NO.	FILING DATE (Day/Month/Year)
60/436,794	27/12/2002

CLAIM FOR BENEFIT OF EARLIER U.S./PCT APPLICATION(S) UNDER 35 U.S.C. 120

I hereby claim the benefit under Title 35, United States Code, §120 of any United States application(s) or PCT international application(s) designating the United States of America that is/are listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in such prior application(s) in the manner provided by the first paragraph of Title 35, United States Code, §112, I acknowledge the duty to disclose material information as defined in Title 37, Code of Federal Regulations, §1.56(a) which occurred between the filing date of the prior application(s) and the national or PCT international filing date of this application:

(List prior U.S. applications or PCT international applications designating the U.S. for benefit under 35 U.S.C. §120.)

U.S. APPLICATIONS**STATUS** (Check One)

U.S. SERIAL NO.	U.S. FILING DATE (Day/Month/Year)	Patented	Pending	Abandoned
0 /		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
0 /		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

PCT APPLICATIONS DESIGNATING THE U.S.**STATUS** (Check One)

PCT APPLN. NO.	PCT FILING DATE (Day/Month/Year)	U.S. SERIAL NOS ASSIGNED (If any)	Patented	Pending	Abandoned
PCT/			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
PCT/			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

35 USC 119 PRIORITY CLAIM, IF ANY, FOR ABOVE LISTED U.S./PCT APPLICATIONS

PRIORITY APPLICATION NO.	PRIORITY COUNTRY	FILING DATE (Day/Month/Year)	ISSUE DATE (Day/Month/Year)

POWER OF ATTORNEY

As a named inventor, I hereby appoint the following attorney(s) and/or agent(s) to prosecute this application and transact all business in the Patent and Trademark Office in connection therewith:

Charles R. Hoffmann, Reg. No. 24,102; Ronald J. Baron, Reg. No. 29,281; Alan M. Sack, Reg. No. 31,874; A. Thomas Kammer, Reg. No. 28,226; R. Glenn Schroeder, Reg. No. 34,720; Glenn T. Henneberger, Reg. No. 36,074; Irving N. Feit, Reg. No. 28,601; Anthony E. Bennett, Reg. No. 40,910; Gregory W. Bachmann, Reg. No. 41,593; Steven T. Zuschlag, Reg. No. 43,309; Susan A. Sipos, Reg. No. 43,128; Kevin E. McDermott, Reg. No. 35,946; Rod S. Turner, Reg. No. 38,639; Robert C. Morriss, Reg. No. 42,910; Justin K. Holmes, Reg. No. 42,666; Lauren T. Emr, Reg. No. 46,139; Edna I. Gergel, Reg. No. 50,819; James F. Harrington, Reg. No. 44,741; Velly B. Polycarpe, Reg. No. 48,856; Edmund Gutierrez, Reg. No. 52,979 and Betsy Kingsbury Dowd, Reg. No. 52,830, each of them of HOFFMANN & BARON, LLP, 6900 Jericho Turnpike, Syosset, New York 11791; and Daniel A. Scola, Jr., Reg. No. 29,855; Salvatore J. Abbruzzese, Reg. No. 30,152; John S. Sopko, Reg. No. 41,321; Gloria K. Szakiel, Reg. No. 45,149; Ludomir A. Budzyn, Reg. No. 40,540; Christina L. Warrick, Reg. No. 45,690; Rohini K. Garg, Reg. No. 45,272; Joy I. Farber, Reg. No. 44,103; Anna-Lisa Gallo, Reg. No. 50,279; Stephen Cannavale, Reg. No. 44,585; Jamie M. Larmann, Reg. No. 48,623; Gordon Belcher, Reg. No. 33,156; Andrea M. Wilkovich, Reg. No. 53,773 and John X. Haberman, Reg. No. 55,236, each of them of HOFFMANN & BARON, LLP, 1055 Parsippany Boulevard, Parsippany, New Jersey 07054.



PLEASE SEND CORRESPONDENCE TO:

Charles R. Hoffmann, Esq.
HOFFMANN & BARON, LLP
6900 Jericho Turnpike
Syosset, NY 11791

PLEASE DIRECT TELEPHONE CALLS TO:

James F. Harrington, Esq.
(516) 822-3550

DECLARATION

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further, that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

SIGNATURE(S)

Full Name of Sole or First Inventor:	Tomoyuki Shobu
Country of Citizenship:	Japan
Residence Address:	Hamamatsu-shi, Japan
Post Office Address:	c/o Freund Corporation, Hamamatsu Office, 2-2, Shinmiyakoda 1-chome, Hamamatsu-shi, Shizuoka-ken, Japan
Date: <u>September 7, 2004</u>	Inventor's signature <u>Tomoyuki Shobu</u>
Full Name of Second Joint Inventor:	Kazuo Igusa
Country of Citizenship:	Japan
Residence Address:	Tokyo, Japan
Post Office Address:	c/o Freund Corporation, Hamamatsu Office, 2-2, Shinmiyakoda 1-chome, Hamamatsu-shi, Shizuoka-ken, Japan
Date: <u>September 7, 2004</u>	Inventor's signature <u>Kazuo Igusa</u>
Full Name of Third Joint Inventor:	Toshichika Ogasawara
Country of Citizenship:	Japan
Residence Address:	Tokyo, Japan
Post Office Address:	c/o Freund Corporation, Hamamatsu Office, 2-2, Shinmiyakoda 1-chome, Hamamatsu-shi, Shizuoka-ken, Japan
Date: <u>September 7, 2004</u>	Inventor's signature <u>Toshichika Ogasawara</u>

Full Name of Fourth Joint Inventor: Keizou Mochizuki
Country of Citizenship: Japan
Residence Address: Sakado-shi, Japan
Post Office Address: 12-20, Hinode-cho, Sakado-shi, Saitama-ken, Japan
Date: September 7, 2004 Inventor's signature Keizou Mochizuki

Full Name of Fifth Joint Inventor: Hidejiro Hara
Country of Citizenship: Japan
Residence Address: Tokyo, Japan
Post Office Address: c/o Freund Corporation, 8-1, Nishishinjuku 6-chome, Shinjuku-ku, Tokyo, Japan
Date: September 7, 2004 Inventor's signature Hidejiro Hara

Full Name of Sixth Joint Inventor: Kazumi Yamada
Country of Citizenship: Japan
Residence Address: Saitama-shi, Japan
Post Office Address: c/o Freund Chemical Co., Ltd., 2-10, Numakage 2-chome, Saitama-shi, Saitama-ken, Japan
Date: September 7, 2004 Inventor's signature KAZUMI YAMADA

NOTE: All above spaces identifying inventors must be completed or deleted before any inventor executes this application



A
PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants: Shobu et al. Examiner: Unassigned
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1450 on*

Date:

Sept 16, 2004

Signed:

Joy Peterson

**CONSENT OF ASSIGNEE TO CORRECTION OF ORIGINAL NAMED
INVENTORS AND CERTIFICATION UNDER 37 C.F.R. § 3.73(b)**

Assignee: Freund Industrial Co., Ltd.
14-2, Takadanobaba 2-chome
Shinjuku-ku, Tokyo, Japan

Assignment: Executed on November 18, 2003
A copy is attached.

Assignee hereby consents to the correction of inventorship filed herewith.

ASSIGNEE CERTIFICATION

I, the undersigned, have reviewed all documents related to the title of this patent application, and to the best of my knowledge and belief, title remains in the assignee identified above.


Applicants: Shobu et al.
Application Serial No.: 10/721,555
Filing Date: November 25, 2003
Docket No.: 105-78
Page 2 of 2

ASSIGNEE CERTIFICATION

I, the undersigned, have reviewed all documents related to the title of this patent application, and to the best of my knowledge and belief, title remains in the assignee identified above.

I hereby declare that all statements made herein of my own knowledge are true, and that all statements made on information and belief are believed to be true and further, that these statements are made with the knowledge that willful false statements, and the like so made, are punishable by fine or imprisonment, or both, under Section 1001, Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.

September 7, 2004
Date
Directors


By: Yasutoyo Fusejima
Title: Chairman of the Board of
Freund Corporation



[et No.: 105-78

PTO-1595 (Modified)
3-01)
No. 0651-0027 (exp. 5/31/2002)
REV03

RECORDATION FORM COVER SHEET

U.S. DEPARTMENT OF COMMERCE
Patent and Trademark Office

PATENTS ONLY

settings → → → ▼ ▼ ▼ ▼ ▼ ▼ ▼ ▼

To the Director of the United States Patent and Trademark Office: Please record the attached original documents or copy thereof.

1. Name of conveying party(ies):

. Tomoyuki Shobu
. Kazuo Igusa
. Toshichika Ogasawara

Additional names(s) of conveying party(ies)

☐ Yes ☒ No

Nature of conveyance:

Assignment ☐ Merger
Security Agreement ☐ Change of Name
Other _____Execution Date: November 18, 2003

2. Name and address of receiving party(ies):

Name: Freund Industrial Co., Ltd.Address: 14-2, Takadanobaba 2-chome, Shinjuku-kuCity: Tokyo State/Prov.: _____Country: Japan ZIP: _____

Additional name(s) & address(es)

☐ Yes ☒ No

Application number(s) or patent numbers(s):

If this document is being filed together with a new application, the execution date of the application is: November 18, 2003

Patent Application No.

Filing date

B. Patent No.(s)

Additional numbers

☐ Yes ☐ No

Name and address of party to whom correspondence concerning document should be mailed:

Name: Charles R. Hoffmann, Esq.Registration No. 24,102Address: Hofmann & Baron, LLP6900 Jericho TurnpikeCity: Syosset State/Prov.: NYCountry: USA ZIP: 11791

6. Total number of applications and patents involved:

17. Total fee (37 CFR 3.41):.....\$ 40.00☒ Enclosed - Any excess or insufficiency should be credited or debited to deposit account☐ Authorized to be charged to deposit account

8. Deposit account number:

08-2461

(Attach duplicate copy of this page if paying by deposit account)

DO NOT USE THIS SPACE

Statement and signature.

To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.

James F. Harrington

Name of Person Signing

Signature

Date

2

Total number of pages including cover sheet, attachments, and

Mail documents to be recorded with required cover sheet information to:
Mail Stop Assignment Recordation Services
Director of the United States Patent and Trademark Office
P.O. Box 1450, Alexandria, VA 22313-1450

USA Patent Appln.
Sole or JointASSIGNMENT

In consideration of the sum of Ten Dollars (\$10.00) and other good and valuable consideration paid to each of the undersigned, to wit:

Insert Name(s)
of Inventor(s)

(1) Tomoyuki Shobu

(5) _____

(2) Kazuo Igusa

(6) _____

(3) Toshichika Ogasawara

(7) _____

(4) _____

[] x box if continued on back

the receipt and sufficiency of which are hereby acknowledged by the undersigned who at the request of, hereby sell(s), assign(s) and transfer(s) unto:

FREUND INDUSTRIAL CO., LTD.

Insert Name
of Assignee
and Address

14-2, Takadanobaba 2-chome, Shinjuku-ku, Tokyo, Japan

Title of
Invention

(hereinafter designated "ASSIGNEE") the entire right, title and interest for the United States of America as defined in 35 U.S.C. 100, in and to the invention known as AQUEOUS SHELLAC COATING AGENT AND PRODUCTION PROCESS THEREFOR, AND COATED FOOD AND PRODUCTION PROCESS THEREFOR, COATED DRUG AND PRODUCTION PROCESS THEREFOR, GLAZING COMPOSITION FOR OIL-BASED CONFECTIONARY, GLAZING PROCESS, for which an application for Letters Patent of the United States of America has been AND executed even date herewith by the undersigned, and in and to any and all divisions, continuations, substitutes, and reissues thereof; and all resulting patents; and the undersigned hereby authorize(s) and request(s) the United States Commissioner of Patents and Trademarks to issue said Letters Patent to the said ASSIGNEE, for its interest as ASSIGNEE, its successors, assigns and legal representatives; the undersigned agree(s) that the attorneys of record in said application shall hereafter act on behalf of said ASSIGNEE;

NOTE ->->->
(use only
when appln.
signed on
same date)

AND the undersigned hereby agree(s) to testify and execute any papers for ASSIGNEE, its successors, assigns and legal representatives, deemed essential by ASSIGNEE to ASSIGNEE'S full protection and title in and to the invention hereby transferred.

Please sign
concurrently
with Declaration

Signed on the date(s) indicated beside our signatures.

	<u>INVENTOR(S)</u>	<u>DATE SIGNED</u>	<u>WITNESS(ES)</u>
1)	<u>Tomoyuki Shobu</u> Name: Tomoyuki Shobu	November 18, 2003	<u>Takeshi Homma</u>
2)	<u>Kazuo Igusa</u> Name: Kazuo Igusa	November 18, 2003	<u>Toshitake Sambe</u>
3)	<u>Toshichika Ogasawara</u> Name: Toshichika Ogasawara	November 18, 2003	<u>Toshitake Sambe</u>
4)	_____ Name: _____	_____	_____
5)	_____ Name: _____	_____	_____
6)	_____ Name: _____	_____	_____
7)	_____ Name: _____	_____	_____



PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants:	Shobu et al.	Examiner:	Unassigned
Serial No.:	10/721,555	Group Art Unit:	1755
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Director U.S. Patent and Trademark Office
Mail Stop Assignment Recordation Services
P.O. Box 1450
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in an envelope, addressed to: Director U.S. Patent and
Trademark Office,, P.O. Box 1450, Alexandria, VA 22313-
1450*

on September 16, 2004

Signature: Jay W. Peterson

REQUEST FOR RECORDATION OF ASSIGNMENT DOCUMENT

Sir:

Enclosed herewith is an executed Assignment and a Recordation Form Cover Sheet regarding the above-identified patent application. A check for the required recordation fee of \$40.00 is also enclosed. Please record the enclosed document accordingly and return it to the address set forth below once recordation has been completed.

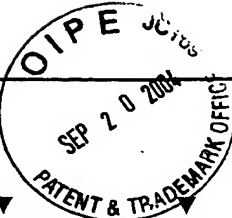
Respectfully submitted,

James F. Harrington

James F. Harrington
Registration No.: 44,741
Attorney for Applicants

HOFFMANN & BARON, LLP
6900 Jericho Turnpike
Syosset, New York 11791
(516) 822-3550
JFH/jp

PATENTS ONLY



Tab settings → → → ▼ ▼ ▼ ▼ ▼

To the Director of the United States Patent and Trademark Office: Please record the attached original documents or copy thereof.

1. Name of conveying party(ies):

Keizou Mochizuki
Hidejiro Hara
Kazumi Yamada

Additional names(s) of conveying party(ies)

☐ Yes ☒ No

3. Nature of conveyance:

☒ Assignment☐ Merger☐ Security Agreement☐ Change of Name☐ OtherExecution Date: September 7, 2004

2. Name and address of receiving party(ies):

Name: Freund CorporationInternal Address: 8-1, Nishishinjuku6-chome, Shinjuku-kuTokyo, Japan

Street Address: _____

City: _____ State: _____ ZIP: _____

Additional name(s) & address(es) attached? ☐ Yes ☒ No

4. Application number(s) or patent numbers(s):

If this document is being filed together with a new application, the execution date of the application is: _____

A. Patent Application No.(s)

B. Patent No.(s)

10/721,555

Additional numbers attached? ☐ Yes ☒ No

5. Name and address of party to whom correspondence concerning document should be mailed:

Name: Charles R. Hoffmann, Esq.Internal Address: HOFFMANN & BARON, LLPStreet Address: 6900 Jericho TurnpikeCity: Syosset State: NY ZIP: 11791

6. Total number of applications and patents involved:

1

7. Total fee (37 CFR 3.41):.....\$ 40.00☒ Enclosed - Any excess or insufficiency should be credited or debited to deposit account☐ Authorized to be charged to deposit account

8. Deposit account number:

08-2461

(Attach duplicate copy of this page if paying by deposit account)

DO NOT USE THIS SPACE

9. Statement and signature.

*To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.*James F. Harrington

Name of Person Signing

Signature

Date

Total number of pages including cover sheet, attachments, and document:

4

Mail documents to be recorded with required cover sheet information to:
Mail Stop Assignment Recordation Services

Director of the United States Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450

Attorney's Docket No.: 105-78

PATENT

For: ☒ U.S. and/or ☒ Foreign Rights
 For: ☒ U.S. Application;
☐ U.S. Provisional Application;
☐ U.S. Patent; or
☐ PCT Application
 By: ☒ Inventors or ☐ Present Owners

ASSIGNMENT OF INVENTION

In consideration of the payment by ASSIGNEE to ASSIGNOR of the sum of One Dollar (\$1.00), the receipt of which is hereby acknowledged, and for other good and valuable consideration,

ASSIGNORS: (inventor(s) or person(s) or entity(ies) who own the invention)

<u>Keizou Mochizuki</u>	<u>Hidejiro Hara</u>	<u>Kazumi Yamada</u>
Name	Name	Name
	c/o Freund Corporation, 8-1	c/o Freund Chemical Co., Ltd., 2-
	Nishishinjuku, 6-chome,	10, Numakage, 2-chome,
<u>12-20, Hinode-cho, Sakado-shi</u>	<u>Shinjuku-ku</u>	<u>Saitama-shi</u>
Address	Address	Address
<u>Saitama-ken, Japan</u>	<u>Tokyo, Japan</u>	<u>Saitama-ken, Japan</u>
Japan	Japan	Japan
Nationality	Nationality	Nationality

(If assignment is by person or entity to whom invention was previously assigned and this was recorded in PTO add the following)

Recorded on _____ Reel _____
 Frame _____

hereby sells, assigns and transfers to

ASSIGNEE:

Freund Corporation
 (Type or print name of ASSIGNEE)
8-1, Nishishinjuku 6-chome, Shinjuku-ku
 Address
Tokyo, Japan
Japan
 Nationality

and the successors, assigns and legal representatives of the ASSIGNEE,

(complete one of the following)

- ☒ the entire right, title and interest
☐ an undivided _____ percent (____%) interest

for the United States and its territorial possessions

- ☒ and in all foreign countries, including all rights to claim priority,

in and to any and all improvements which are disclosed in the invention entitled:
AQUEOUS SHELLAC COATING AGENT AND PRODUCTION PROCESS THEREFOR, AND COATED FOOD AND PRODUCTION PROCESS THEREFOR, COATED DRUG AND PRODUCTION PROCESS THEREFOR, GLAZING COMPOSITION FOR OIL-BASED CONFECTIONARY, GLAZING PROCESS, AND GLAZED OIL-BASED CONFECTIONARY USING SAME

and which is found in

(check and complete (a), (b), (c), (d), (e), (f), or (g))

- (a) ☐ U.S. patent application executed on even date herewith
(b) ☐ U.S. patent application executed on _____
(c) ☐ U.S. provisional application naming the above inventor(s) for the above-identified invention.
 ☐ Express Mail label No.: _____, mailed: _____
 ☐ To comply with 37 CFR 3.21 for recordal of this assignment, I, an ASSIGNOR signing below, hereby authorize and request my attorney to insert below the filing date and application number when they become known
(d) ☒ U.S. application Serial No. 10/721,555 filed on November 25, 2003
(e) ☐ International application No. PCT/_____/_____
(f) ☐ U.S. Patent No. _____ issued _____
 ☐ A change of address to which correspondence is to be sent regarding patent maintenance fees is being sent separately.
(g) ☒ and any legal equivalent thereof in a foreign country, including the right to claim priority

and, in and to, all Letters Patent to be obtained for said invention by the above application or any continuation, division, renewal, or substitute thereof, and as to Letters Patent any re-issue or re-examination thereof.

ASSIGNOR hereby covenants that no assignment, sale, agreement or encumbrance has been or will be made or entered into which would conflict with this assignment.

ASSIGNOR further covenants that ASSIGNEE will, upon its request, be provided promptly with all pertinent facts and documents relating to said invention and said Letters Patent and legal equivalents as may be known and accessible to ASSIGNOR and will testify as to the same in any interference, litigation or proceeding related thereto and will promptly execute and

deliver to ASSIGNEE or its legal representatives any and all papers, instruments or affidavits required to apply for, obtain, maintain, issue and enforce said application, said invention and said Letters Patent and said equivalents thereof which may be necessary or desirable to carry out the purposes thereof.

IN WITNESS WHEREOF, I/We have hereunto set hand and seal this

above. WARNING: Date of signing must be the same as the date of execution of the application if item (a) was checked

Date: X September 7, 2004
Date of signing

X Keizou Mochizuki
Keizou Mochizuki

Date: X September 7, 2004
Date of signing

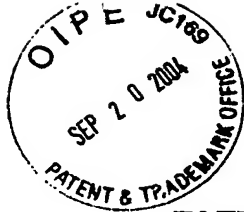
X Hidejiro Hara
Hidejiro Hara

Date: X September 7, 2004
Date of signing

X Kazumi Yamada
Kazumi Yamada

NOTE: No witnessing, notarization or legalization is necessary. If the assignment is notarized or legalized then it will only be prima facie evidence of execution 35 USC 261. Use next page if notarization is desired.

☐ Notarization or Legalization Page Added.



PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants:	Shobu et al.	Examiner:	Unassigned
Serial No.:	10/721,555	Group Art Unit:	1755
Confirmation No.:	5837	Docket:	105-78
Filed:	November 25, 2003	Dated:	September 16, 2004
For:	Aqueous Shellac Coating Agent and Production Process Therefor, and Coated Food and Production Process Therefor, Coated Drug and Production Process Therefor, Glazing composition for Oil-Based Confectionary, Glazing Process, and Glazed Oil-Based Confectionary Using Same		

Director U.S. Patent and Trademark Office
Mail Stop Assignment Recordation Services
P.O. Box 1450
Alexandria, VA 22313-1450

*I hereby certify this correspondence is being deposited with
the United States Postal Service as first class mail, postpaid
in an envelope, addressed to: Director U.S. Patent and
Trademark Office,, P.O. Box 1450, Alexandria, VA 22313-
1450
on September 16, 2004*

Signature: _____

REQUEST FOR RECORDATION OF CHANGE OF CORPORATE NAME

Sir:

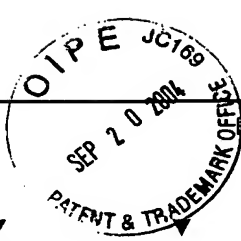
The assignee of the above-identified application has changed its corporate name in English from Freund Industrial Co., Ltd. to Freund Corporation. Enclosed herewith for recordation is a copy of a Notice of Corporate Name Change, the Commercial Register from the Tokyo Legal Affairs Bureau documenting the change of corporate name, and a translation of excerpts from the Commercial Register and Notice. Also enclosed is a Recordation Form Cover Sheet. A check for the required recordation fee of \$40.00 is also enclosed. Please record the enclosed documents accordingly.

Respectfully submitted,

James F. Harrington
Registration No.: 44,741
Attorney for Applicants

HOFFMANN & BARON, LLP
6900 Jericho Turnpike
Syosset, New York 11791
(516) 822-3550
JFH/jp
194684_1

PATENTS ONLY



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To the Director of the United States Patent and Trademark Office: Please record the attached original documents or copy thereof.

1. Name of conveying party(ies):
Freund Industrial Co., Ltd.

Additional names(s) of conveying party(ies)

☐ Yes ☒ No

3. Nature of conveyance:

☐ Assignment☐ Merger☐ Security Agreement☒ Change of Name☐ Other _____Execution Date: **May 26, 2004**

2. Name and address of receiving party(ies):

Name: **Freund Corporation**Internal Address: **8-1, Nishishinjuku****6-chome, Shinjuku-ku****Tokyo, Japan**

Street Address: _____

City: _____ State: _____ ZIP: _____

Additional name(s) & address(es) attached? ☐ Yes ☒ No

4. Application number(s) or patent numbers(s):

If this document is being filed together with a new application, the execution date of the application is: _____

A. Patent Application No.(s)

B. Patent No.(s)

10/721,555Additional numbers attached? ☐ Yes ☒ No

5. Name and address of party to whom correspondence concerning document should be mailed:

Name: **Charles R. Hoffmann, Esq.**Internal Address: **HOFFMANN & BARON, LLP**Street Address: **6900 Jericho Turnpike**City: **Syosset** State: **NY** ZIP: **11791**6. Total number of applications and patents involved: **1**7. Total fee (37 CFR 3.41):.....\$ **40.00**☒ Enclosed - Any excess or insufficiency should be credited or debited to deposit account☐ Authorized to be charged to deposit account

8. Deposit account number:

08-2461

(Attach duplicate copy of this page if paying by deposit account)

DO NOT USE THIS SPACE

9. Statement and signature.

*To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.***James F. Harrington**

Name of Person Signing

Signature

Date

Total number of pages including cover sheet, attachments, and document: **9**

Mail documents to be recorded with required cover sheet information to:

Mail Stop Assignment Recordation Services

Director of the United States Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450

RECORDATION FORM COVER SHEET

U.S. DEPARTMENT OF COMMERCE

Patent and Trademark Office

PATENTS ONLY

Tab settings → → →

To the Director of the United States Patent and Trademark Office: Please record the attached original documents or copy thereof.

1. Name of conveying party(ies):
Freund Industrial Co., Ltd.

Additional names(s) of conveying party(ies)

☐ Yes ☒ No

3. Nature of conveyance:

☐ Assignment☐ Merger☐ Security Agreement☒ Change of Name☐ Other

Execution Date: May 26, 2004

2. Name and address of receiving party(ies):

Name: Freund Corporation

Internal Address: 8-1, Nishishinjuku

6-chome, Shinjuku-ku

Tokyo, Japan

Street Address:

City: State: ZIP:

Additional name(s) & address(es) attached? ☐ Yes ☒ No

4. Application number(s) or patent numbers(s):

If this document is being filed together with a new application, the execution date of the application is:

A. Patent Application No.(s)

B. Patent No.(s)

10/721,555

Additional numbers attached? ☐ Yes ☒ No

5. Name and address of party to whom correspondence concerning document should be mailed:

Name: Charles R. Hoffmann, Esq.

Internal Address: HOFFMANN & BARON, LLP

Street Address: 6900 Jericho Turnpike

City: Syosset State: NY ZIP: 11791

6. Total number of applications and patents involved:

1

7. Total fee (37 CFR 3.41):.....\$ 40.00

☒ Enclosed - Any excess or insufficiency should be credited or debited to deposit account☐ Authorized to be charged to deposit account

8. Deposit account number:

08-2461

(Attach duplicate copy of this page if paying by deposit account)

DO NOT USE THIS SPACE

9. Statement and signature.

To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.

James F. Harrington

Name of Person Signing

Signature

Date

Total number of pages including cover sheet, attachments, and document:

9

Mail documents to be recorded with required cover sheet information to:

Mail Stop Assignment Recordation Services

Director of the United States Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450



May 27, 2004

Notice of Change of name of company in English

At the 40th general meeting of company on May 26, 2004,
the name of the company in English was changed as follows.

1. New name of company in English

Freund Corporation

(Former name is Freund Industrial Co., Ltd.)

2. Reason for change of name

Unification of the name of the company and

the names of subsidiary companies (Vector Corporation, VPS Corporation)

3. Date of Change

May 26, 2004



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News & Topics ニュース&トピックス

2004/7/9

2005年2月期第1四半期業績の概況(連結)

IRサイトに掲載しております。

2004/4/23

自己株式の取得に関するお知らせ

2004年4月15日開催の取締役会において、商法第210条の規定に基づく自己株式の取得について、2004年5月開催予定の当社第40回定時株主総会に付議することを決議いたしました。
詳細は「IR(投資家のみなさまへ)」をご覧ください。

2004/5/27

英文表記変更に関するお知らせ

2004年5月26日開催の第40回定時株主総会において、社名の英文表記の変更が下記の通り、承認可決され、
でお知らせします。

1. 新しい英文表記

Freund Corporation

(従前は、Freund Industrial Co., Ltd.)

2. 変更の理由

在外子会社(Vector Corporation、VPS Corporation)と社名の表示方法をあわせ、表示の統一化を図る。
す。

3. 変更日

平成16年5月26日

2004/5/20

2004国際食品工業展に出展します。

2004年6月8日(火)～11日(金)の4日間、東京ビッグサイトにて開催される2004国際食品工業展に出展しま

機械部門ではロータリー式流動層造粒乾燥装置、遠心転動造粒コーティング装置、シームレス・ミニカプセル
置、卓上型乾式造粒機、流動層造粒コーティング装置を展示、一部の機械については実演も行います。機能
部門では水系コーティング基材、直打用澱粉、シームレス・ミニカプセル、直打用乳糖の展示を行います。



(Translation)

PARTIAL TRANSLATION OF EXCERPTS FROM COMMERCIAL REGISTER

(Page 1)

TRADE NAME: Freund Corporation

HEAD OFFICE: 14-2, Takadanobaba 2-chome, Shinjuku-ku, Tokyo

June 1, 1975 Specified Address

8-1, Nishishinjuku 6-chome, Shinjuku-ku, Tokyo, Japan

January 26, 2004 Moved

January 26, 2004 Registered

(Page 6: the last five lines)

It is hereby certified that the above is a true copy of the Commercial Register.

June 22, 2004

Tokyo Legal Affairs Bureau

Registrar: Minoru Nemoto (Sealed)

履歴事項全部証明書

東京都新宿区西新宿六丁目8番1号
フロイント産業株式会社
会社法人等番号 0111-01-018760

商 号	フロイント産業株式会社	
本 店	東京都新宿区高田馬場二丁目14番2号	昭和50年 6月 1日住居表示実施
	東京都新宿区西新宿六丁目8番1号	平成16年 1月26日移転 平成16年 1月26日登記
公告をする方法	日本経済新聞に掲載する	
貸借対照表に係る情報の提供を受けるために必要な事項	http://www.freund.co.jp	平成15年 4月18日設定
		平成15年 4月28日登記
会社成立の年月日	昭和39年4月22日	
目 的	<ol style="list-style-type: none"> 1. 製薬・食品化学用機械の製造並びに販売 2. 理科学医療機器の製造並びに販売 3. 一般医薬品、医薬部外品、毒物、劇物、動物用医薬品、農薬賦形剤、コーティング剤等の製造販売並びに受託加工販売 4. 食品及び食品添加物の製造販売 5. 各種ゴム製品、プラスチック製品、合成塗料類の製造並びに販売 6. 建築用材料の製造加工販売並びに工事施工及び宣伝装飾用材料の製造販売並びに工事施工 7. 業務用家庭用電気機器、計器の製造並びに販売 8. 飼料の製造並びに販売 9. ビタミン、カルシウム、鉄分等の栄養素を補給するための栄養補助食品の製造販売並びに受託加工販売 10. 農産物、樹木、草花等の種子の被覆、造粒加工販売 11. イチョウ葉エキス、植物種子の焙煎物、乳酸菌等の健康補助食品の製造販売並びに受託加工販売 12. 電気工事及び管工事の設計、施工、請負並びに監理監督 13. 機械器具設置工事の設計、施工、請負並びに監理監督 14. 粉塵の除去、微粉回収用装置の製造販売 15. 前各号に関連する輸出入業務 16. 前各号に関連する一切の業務 	
	<ol style="list-style-type: none"> (1) 製薬・食品製造用・化学用機械の製造並びに販売 (2) 理科学医療機器の製造並びに販売 (3) 医薬品、医薬部外品、毒物、劇物、動物用医薬品、農薬賦形剤、結合剤・崩壊剤・コーティング剤等の医薬品添加剤の製造販売並びに受託加工販売 	

整理番号 ニ626203

* 下線のあるものは抹消事項であることを示す。

1/6

	(4) 医薬品製造受託及び仲介 (5) 食品、食品品質保持剤及び食品添加物の製造販売 (6) 各種ゴム製品、プラスチック製品、合成塗料類の製造並びに販売 (7) 建築用材料の製造加工販売並びに工事施工及び宣伝装飾用材料の製造販売並びに工事施工 (8) 業務用家庭用電気機器、計器の製造並びに販売 (9) 飼料の製造並びに販売 (10) ビタミン、カルシウム、鉄分等の栄養素を補給するための栄養補助食品の製造販売並びに受託加工販売 (11) 農産物、樹木、草花等の種子の被覆、造粒加工販売 (12) イチョウ葉エキス、植物種子の焙煎物、乳酸菌等の健康食品の製造販売並びに受託加工販売 (13) 電気工事及び管工事の設計、施工、請負並びに監理監督 (14) 機械器具設置工事の設計、施工、請負並びに監理監督 (15) 粉塵の除去、微粉回収用装置の製造販売 (16) 製菓・食品・化学等の開発研究、処方検討等の受託 (17) 前各号に関連する輸出入業務 (18) 前各号に関連する一切の業務 平成14年 5月30日変更 平成14年 7月15日登記	
額面株式1株の金額	金50円	
一単元の株式の数	1000株	
	100株	平成13年 7月 2日変更
		平成13年 7月 2日登記
発行する株式の総数	1500万株	
発行済株式の総数並びに種類及び数	発行済株式の総数 460万株	
資本の額	金10億3560万円	
名義書換代理人の氏名及び住所並びに営業所	東京都中央区日本橋三丁目1番8号 日本信託銀行株式会社 東京都中央区日本橋三丁目1番8号 日本信託銀行株式会社 証券代行部	
	東京都千代田区永田町二丁目11番1号 三菱信託銀行株式会社 東京都千代田区永田町二丁目11番1号 三菱信託銀行株式会社 証券代行部 平成13年10月 1日変更 平成13年10月 1日登記	

	東京都千代田区丸の内一丁目4番5号 三菱信託銀行株式会社 東京都千代田区丸の内一丁目4番5号 三菱信託銀行株式会社 証券代行部 平成15年 5月 6日変更		平成15年 5月14日登記
役員に関する事項	<u>取締役</u>	<u>伏 島 靖 豊</u>	平成11年 5月28日重任
			平成11年 6月10日登記
	<u>取締役</u>	<u>伏 島 靖 豊</u>	平成13年 5月30日重任
			平成13年 6月15日登記
	<u>取締役</u>	<u>伏 島 靖 豊</u>	平成15年 5月27日重任
			平成15年 6月12日登記
	<u>取締役</u>	<u>堀 哲 郎</u>	平成11年 5月28日重任
			平成11年 6月10日登記
	<u>取締役</u>	<u>堀 哲 郎</u>	平成13年 5月30日重任
			平成13年 6月15日登記
	<u>取締役</u>	<u>堀 哲 郎</u>	平成15年 5月27日重任
			平成15年 6月12日登記
	<u>取締役</u>	<u>伊 藤 靖 之</u>	平成11年 5月28日重任
			平成11年 6月10日登記
	<u>取締役</u>	<u>伊 藤 靖 之</u>	平成13年 5月30日退任
			平成13年 6月15日登記
	<u>取締役</u>	<u>高 野 静 夫</u>	平成11年 5月28日重任
			平成11年 6月10日登記
	<u>取締役</u>	<u>高 野 静 夫</u>	平成13年 5月30日重任
			平成13年 6月15日登記
	<u>取締役</u>	<u>高 野 静 夫</u>	平成15年 5月27日重任
			平成15年 6月12日登記

	<u>取締役</u> 山田次敏	平成11年 5月28日重任
		平成11年 6月10日登記
		平成13年 5月30日退任
		平成13年 6月15日登記
	<u>取締役</u> 小笠原利近	平成11年 5月28日重任
		平成11年 6月10日登記
	<u>取締役</u> 小笠原利近	平成13年 5月30日重任
		平成13年 6月15日登記
	取締役 小笠原利近	平成15年 5月27日重任
		平成15年 6月12日登記
	<u>取締役</u> 西村修基	平成13年 5月30日就任
		平成13年 6月15日登記
	取締役 西村修基	平成15年 5月27日重任
		平成15年 6月12日登記
	<u>取締役</u> 具志堅敬	平成13年 5月30日就任
		平成13年 6月15日登記
	取締役 具志堅敬	平成15年 5月27日重任
		平成15年 6月12日登記

	東京都文京区目白台二丁目9番3-905号 代表取締役 伏島靖豊	平成11年 5月28日重任
		平成11年 6月10日登記
		平成11年 6月20日住所移転
		平成11年 7月13日登記
	東京都豊島区目白四丁目23番21号 代表取締役 伏島靖豊	平成13年 5月30日重任
		平成13年 6月15日登記
	東京都豊島区目白四丁目23番21号 代表取締役 伏島靖豊	平成15年 5月27日重任
		平成15年 6月12日登記
	大阪府箕面市半町一丁目14番9号 代表取締役 堀哲郎	平成15年 3月 1日就任
		平成15年 3月 4日登記
		平成15年 5月27日重任
		平成15年 6月12日登記
	監査役 名和正夫	平成10年 5月28日重任
		平成10年 6月11日登記
		平成13年 5月30日重任
		平成13年 6月15日登記
		平成15年 5月27日辞任
		平成15年 6月12日登記
	監査役 宮崎富士夫	平成11年 5月28日重任
		平成11年 6月10日登記
		平成14年 5月30日重任
		平成14年 7月15日登記